

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Graciela Chichilnisky

Group No.: 2161

Serial No.: 09/687,651

Examiner: Not Yet Assigned

Filed: October 13, 2000

For: Internet Based Secure Virtual Exchange and Distributed Relational Database For Cross Border Training Of Securities

Commissioner for Patents

Washington, D.C. 20231

## COMPLETION OF FILING REQUIREMENTS

## —NONPROVISIONAL APPLICATION

- I. This replies to the Notice to File Missing Parts of Application (PTO-1533) mailed November 21, 2000. A copy of the Notice to File Missing Parts of Application—Filing Date Granted (Form PTO-1533) is enclosed.

## DECLARATION OR OATH

- II. No declaration or oath was filed. Enclosed is the original declaration or oath for this application. Also enclosed is a Recordation Form Cover Sheet (PTO-1595) and Assignment for this matter.

## POWER OF ATTORNEY

- III. Enclosed is the Power of Attorney By Assignee To Exclusion of Inventor Under 37 C.F.R. § 3.71 With Revocation of Prior Powers for this matter.

## IV. SMALL ENTITY STATUS

Applicant claims small entity status. See 37 CFR 1.27.

## COMPLETION FEES

1. Filing Fee: Original patent application (37 C.F.R. 1.16(a))	\$ 355.00
2. Fee for Claims: Each claim in excess of 20 (37 C.F.R. 1.16(c))	\$ 54.00
3. Fee for Claims: Independent claims in excess of 3	160.00
4. Surcharge Fee: Late payment of filing fee (37 C.F.R. 1.16(e))	\$ 65.00
5. Assignment (See "ASSIGNMENT COVER SHEET")	\$ 40.00
Total completion fees	\$ 674.00

## REQUEST FOR CORRECTED FILING RECEIPT

- V. Attached is a copy of the official filing receipt for which issuance of a corrected filing receipt is respectfully requested. There are errors with respect to the following, which are incorrectly entered.

Error in

Correct data

1. Applicant name and/or addresses - Graciela Chichilnisky, New York, NY

The above correction is due to applicant's error and the fee under 37 C.F.R. 1.19(h), of \$25.00 applies.

## TOTAL FEE DUE

- VI. The total fee due is: Completion fees \$ 1,308.00; and Corrected Filing Receipt Fee \$25.00

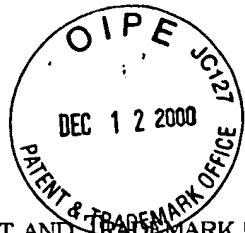
TOTAL FEE DUE \$ 699.00

## PAYMENT OF FEES

- VII. Charge Account No. 23-2415 (23366-703) in the amount of \$ 699.00.  
Please charge Account No. 23-2415 (23366-703) for any fees that may be due by this paper.

  
Paul Davis, Reg. No. 29,294

Wilson Sonsini Goodrich & Rosati  
650 Page Mill Road  
Palo Alto, CA 94304  
(650) 493-9300  
Customer No. 021971



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/687,651	10/13/2000	Graciela Chichilnisky	23366-703

021971  
WILSON SONSINI GOODRICH & ROSATI  
650 PAGE MILL ROAD  
PALO ALTO, CA 943041050

FORMALITIES LETTER



Date Mailed: 11/21/2000

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$428.
  - \$108 for 6 total claims over 20.
  - \$320 for 4 independent claims over 3 .
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 1268.

12/14/2000 HVUW61 00000117 201430 09594464

01 FC:201 355.00 CH  
02 FC:205 65.00 CH  
03 FC:203 18.00 CH

A copy of this notice MUST be returned with the reply.

*Jpi*  
Customer Service Center  
Initial Patent Examination Division (703) 308-1202  
PART 2 - COPY TO BE RETURNED WITH RESPONSE

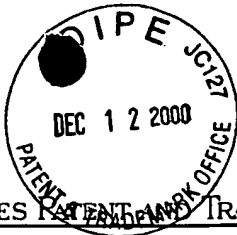
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Page 1 of 3

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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/687,651	10/13/2000	2161	0	23366-703	20	26	7

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650 PAGE MILL ROAD  
PALO ALTO, CA 943041050

## FILING RECEIPT



\*OC00000005571037\*

Date Mailed: 11/21/2000

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Graciela Chichilnisky, Residence-Not-Provided,

NEW YORK, NY

## Continuing Data as Claimed by Applicant

THIS APPLN CLAIMS BENEFIT OF 60/159,237 10/13/1999

## Foreign Applications

If Required, Foreign Filing License Granted 11/21/2000

## Title

Internet based secure virtual exchange and distributed relational database for cross border trading of securities

## Preliminary Class

705

Data entry by : ULANDAY, MARIA

Team : OIPE

Date: 11/21/2000



**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 36 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15 (b).

**PLEASE NOTE the following information about the Filing Receipt:**

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 600 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, DC 20231